Technical Requirements

for

Superior Court
Case Management System

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INTRODUCTION

The Technical requirements document is broken down into four sections. Each section covers a distinct component of the technical requirements for the Superior Court Case Management System (SC-CMS) project. The four sections are: Business Services, Application Integration with Current JIS Systems, Data, and Other Technical Requirements.

Each section represents requirements in a format that best communicates that section's requirements. The format is discussed in the introduction to each section.

BUSINESS SERVICES

Justice Information System (JIS) Business Service requirements identify what the SC-CMS must provide in order to support the business processes, goals, and priorities of the Washington State courts. These services support required data sharing between courts, with justice partners, and for purposes of statewide reporting.

These business services were identified based on the recommendations of the JIS Committee (JISC) Workgroup on Baseline Services, as approved by the JISC on October 7, 2011.

The following services will be provided by the INH. The SC-CMS solution will interact with the INH using these services as a provider and a consumer. Requirements of how the interaction must be provided are contained in the Other Technical Requirements section of this exhibit.

These requirements are presented in a four column table. The first column is the requirement identifier, the second column list the business service, the third column provides a definition of the business service, and the fourth column presents the requirement for the business service. These requirements are all considered Mandatory (M) for evaluating Vendor proposals submitted in response to the SC-CMS RFP.

ID	Business Service	Definition	Requirement
1	ENTITY SEARCH	Search for an entity (individual, organization, business, official, etc.)	The solution shall enable the court to request well-defined entities based on any unique identifier (such as state ID#, driver's license #) or on multiple entity variables (such as name, birth date, race, age, and other data) and receive probable matches.
2	ENTITY ADD & MAINTENANCE	Add and maintain (create, read, update, delete) information pertaining to an entity	The solution shall publish the creation and maintenance (CRUD-create, read, update, delete) of all person-related information that is required for the Information Network Hub (INH).
3	DOL SEARCH	Search for Department of Licensing (DOL) information pertaining to an individual	The solution shall enable the court to request and receive DOL information (Abstract of Driving Record) based on personal identifiers such as Case #, Law Enforcement Agency, Case Type, Driver's License #, Name.

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ID	Business Service	Definition	Requirement
4	**CASE FILING**	Creation and update of a case and all information/activity associated with the initial filing of the case.	The solution shall publish the creation/addition of a new case and all of its associated case-related information that is required for statewide data sharing, including basic information about the case, such as case number and classification (case type, cause code), title, filing date, required case participants, case matters (issues, charges, cause of action), and key information drawn from related charging documents (citation, criminal complaint, information, petition, etc.).
5	**CASE PARTICIPANT**	Manage parties to a case.	The solution shall enable the court to add and maintain parties on a case, together with party type and party information, and relationships to other parties.
6	**CASE CHARGES / CAUSE OF ACTIONS**	Addition and maintenance of charges/issues, referral reasons, violation date, and causes-of-action to a case, together with charge results	The solution shall enable the court to add formal charges (violations, issues) and referral reasons for a defendant to a criminal/offender case, and add causes of action to a civil case. Must include offense date, status and outcome for each charge (and updates), and an indicator/flag identifying defendant who resided in a state institution or work-release program at the time of the offense.
7	**JUDGMENT & SENTENCE**	Addition of Judgment & Sentence information to the criminal/offender case.	The solution must enable the court to send and receive information on Judgment & Sentence (including date, verdict(s) by charge, and sentencing data).
8	**WARRANTS**	Addition of all warrant information to the person and case.	The solution must enable the court to add and revoke warrant information (date and status) for a case and person including all bench warrants, warrants of arrest/detention, and orders for apprehension/pick-up. The solution must be able to both send and receive this information.
9	**PROTECTION ORDERS**	Addition of all protection orders to the case.	The solution must enable the court to add and remove or otherwise update the status and information on all protection orders (DV, anti-harassment) issued in a case, including date, status, party(s) constrained, party(s) protected. The solution must be able to both send and receive this information.

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ID	Business Service	Definition	Requirement
10	**CASE DOCKET INFORMATION**	Register/log of all documents submitted as part of a case.	The solution must enable the court to record information about documents being submitted for inclusion in the case file (including petitions, motions, statements, affidavits, and other documents filed with the court clerk's office). The information to be recorded includes date of submission, document type/title, and an assigned docket number (which identifies location in the case folder).
11	**CASE PROCEEDINGS**	Hearings and trials scheduled, continued/canceled/stricken, and conducted.	The solution must enable the court to add all case hearings and trials that are scheduled, their outcome (continued, canceled, stricken, or held), and proceeding participants.
12	**CASE SEARCH**	Search for a case filed in a different court.	The solution must enable the court to locate and read case (and all case-related information that is required for data sharing) from other courts throughout the state, with limitations by security roles.
13	**ENTITY CASE HISTORY**	Search and compile statewide entity case history.	The solution must enable the court to request and consume compiled statewide information on all cases associated with an entity.
14	**PERSON ORDER HISTORY**	History of all protective orders for a person.	The solution must enable the court to request and receive a compiled history of all protective orders to which a specified individual is a named party.
15	**MANAGE LAW DATA (Reference Data)**	Consume state-maintained law data, and updates of that data.	The solution must enable the court to receive law data (and updates), including RCW's, law descriptions, begin- and end-effective dates, statistical categorizations, severity, sentence enhancers, etc.
16	**MAINTAIN ENTITY CODES (Reference Data)**	Consume state-maintained types for all codes related to entities and persons.	The solution must enable the court to receive INH representations of code tables (and updates) related to all entity information

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ID	Business Service	Definition	Requirement
17	**MAINTAIN TYPES RELATED TO ALL CASE-RELATED INFORMATION (Reference Data)**	Consume state-maintained types (with begin- and end-effective dates) for all case-related information which must be shared statewide.	The solution must enable the court to receive INH representations of all case-related JIS-application code tables (and updates)
18	**CASE STATUS**	Record case resolution and completion, together with history of all case-management statuses through which a case progresses, and duration of each status. This is necessary for computation of performance relative to case-processing time standards.	The solution must compile a history of all statuses through which a case progresses (including active, warrant, mediation, stay, arbitration, appeal, continued-for/deferred prosecution, post-filing diversion, resolved (adjudicated), completed/re-completed), and the begin- and end-dates for each. The solution must publish compiled case-status history to the INH
19	**ENTITY TRANSFER (from WSBA, guardians, schools, and other organizational entities/officials)**	Request and receive entity information from statewide lists maintained by the Washington State Bar Association (WSBA) and other organizations.	The solution shall enable the court to receive entity information from statewide lists accessible through the INH, and to use that information in a case.
20	**REGISTRY DATA**	Unstructured data, such as photos and document images	The solution shall send document ID's to a registry, allowing individual courts to request an image from, or send one to, another court on an as-needed basis via a URL.
21	**TREATMENT / CONDITIONS AND OUTCOMES**	Share information statewide concerning treatments/conditions ordered for a defendant.	The solution shall send to, and receive from, other courts (via the INH) information on ordered treatments/sentencing conditions, including type and outcome.

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APPLICATION INTEGRATION WITH CURRENT JIS APPLICATIONS

The application-integration requirements identify what the SC-CMS must produce or perform for other JIS systems. Some Superior Court business functions are currently integrated via SCOMIS "touch points" with other JIS systems. Point-to-point linkages are identified here, and must be addressed by the new Superior Court CMS so that no current functionality is lost or degraded. The Information Network Hub (INH) will be the intermediary between SC-CMS and the JIS applications with which exchanges must be made. For example, the SC-CMS will not include accounting; therefore, SC-CMS cases will need to send case information to the INH, so that a case can be created in JIS to allow accounting and receipting to be performed.

These requirements are presented in a four column table. The first column is the requirement identifier, the second column identifies the application integration points with the superior court, the third column provides the basic requirement associated with this integration point, the fourth column provides the general information that is communicated at this touch point, The fifth column identifies the existing systems that are involved with the exchange of this information, the sixth column identifies the triggering event that initiates the integration action. These requirements are all considered Mandatory (M) for the SC-CMS project.

ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
22	**GET REFERRAL PERSON & ASSOCIATE OFFENDER CASE AND REFERRAL NUMBER**	For a juvenile offender case, the Superior Court (SC) system shall be able to retrieve person information for the associated referral number(s). The SC offender case and the referral(s) must be associated, so that all superior court and juvenile department (referral(s)) actions are integrated.	Referral #, SC Case #	Juvenile Court System (JCS) and Superior Court (bi-directional) via INH	Person associated with the referral number is retrieved for use in filing the SC case. Actions in SC are integrated with the juvenile department's referral(s).
23	**GET CASE FOR ACCOUNTING**	The solution shall pass basic case information to JIS to establish AR.	SC Case #, Participant Type, Person, Judgment Date	SC to JIS via INH	Establish AR

ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
24	**PUBLISH ACCOUNTING STATUS AND AMOUNTS**	The solution shall consume from the INH accounting (fines, fees, restitution) balances, so that the superior court case may be closed once all balances are zero.	Fine, fee, and restitution balances.	JIS to SC via INH	Case Close
25	**CREATE JUVENILE REFERRAL**	The solution shall construct (based on the superior court case) a complete juvenile referral when none currently exists for the SC case to be linked to.	Referral, Referral Reason, Participants	SC to JCS, and bi-directional linking via INH	Superior Court case filing (offender and non-offender)
26	**NOTIFICATIONS TO JUVENILE COURTS**	The SC solution shall be able to generate notifications to the juvenile court for various actions that require intervention.	Juvenile #, Referral #, Notification Details	SC to JCS via INH	Juvenile case filing/deletion, Juvenile person record created, record sealing/unsealing, etc.
27	**SEAL JUVENILE CASES**	The solution shall provide case sealing functionality which can also seal juvenile referrals/detention episodes.	Referral #, Episode #	SC to JCS via INH	Juvenile case sealing
28	**FAMILY RELATIONSHIPS**	The solution's person maintenance function shall provide family relationship information for use by JIS/JCS.	Person #, related person #, family relationship	SC and JIS/JCS (bi-directional) via INH	Person Maintenance
29	**CREATE JUVENILE DISPOSITIONS**	The solution shall provide for selected docket entries for juvenile cases to be published to the INH, so that specific dispositions for use by the juvenile department can be created.	Docket code, disposition code	SC to JCS via INH	Docket Entry

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ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
30	**CREATE JUVENILE REFERRAL TRACKING ENTRIES**	The solution shall provide for selected docket entries for juvenile cases to be published to the INH, so that specific tracking entries can be created for use by the juvenile department.	Docket code, Tracking code	SC to JCS via INH	Docket Entry
31	**ASSOCIATE JUVENILE CASE OFFENDER CHARGES TO JUVENILE REFERRAL REASONS**	The solution shall reconcile superior court laws with juvenile department laws (referral reasons) for purposes of categorizing juvenile offenses.	Case Charge, Juvenile referral reason, Juvenile Disposition Offense Category	SC to JCS via INH	Charge Filing
32	**CREATE JUVENILE NUMBER**	The solution's person maintenance function shall be able to create and maintain juvenile numbers for person less 18 yrs of age. This is the primary person identifier for the JCS system.	Unique Juvenile #, Person ID	JCS and SC (bi-directional) via INH	Person Add/Modify
33	**GET/CREATE DETENTION REASONS**	When charges are filed on a superior court juvenile offender case that is linked to a juvenile referral, the solution shall be able to identify any current detention episodes that reference the referral, and modify them to reference the SC case.	Episode Reason, Reason Status	SC and JCS (bi-directional) via INH	Juvenile Offender case/charge filing
34	**SEARCH APPELLATE CASE**	The solution must publish SC case number, for use in appellate (ACORDS) case searches.	From Trial Case Number, the Trial Case Token is searched and is retained in Appellate data	JIS/SC to ACORDS via INH	Search Case

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ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
35	**APPEAL INFORMATION IS RETRIEVED FROM TRIAL COURT CASE**	The solution must publish information from the superior court case docket, including appeal filled date, superior court identity, case type, and case resolution. This information is used to populate the appellate (ACORDS) case.	Appeal filed date, appellate case title, superior court, Regional Justice Center (RJC) code, case type, and case resolution.	JIS/SC to ACORDS via INH	Initiate Case
36	**LIST OF SUPERIOR COURT JUDGES**	The solution must publish the judgment date and the identity of the SC judge who was active on the Judgment Date entered. This information is used in adding/updating the appellate case.	Judge, Judgment Date	JIS/SC to ACORDS via INH	Add or update case
37	**PRO-TEM JUDICIAL OFFICER**	The solution must publish the bar number of any pro-tem judicial Officer recorded on the superior court case. This is used by the appellate court to retrieve the pro-tem judicial officer's name from the statewide attorney database.	Pro-tem judicial officer, Bar #	JIS/SC to ACORDS via INH	Add and Update Case
38	**"ACCELERATED FOR:" FLAG**	The solution shall publish superior court case type for appealed cases. This information is used by the appellate courts to identify the reason for accelerated appellate review.	Acceleration reasons, by case type	JIS/CS to ACORDS via INH	Add and Update Case
39	**CASE DETAIL**	The solution shall publish all SC case information that is required for display by the appellate courts.	All superior court case data	JIS/CS to ACORDS via INH	Case Detail
40	**CASE PARTICIPANTS**	The solution shall publish all SC participant data. This information is used by the appellate courts when adding participants to an appellate case	Participant Information	JIS/CS to ACORDS via INH	Add Case Participants

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ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
41	**CASE EVENTS**	The solution must publish selected SC case data. This information is used by the appellate courts as criteria for generating mandate alerts.	Based on the criteria when the order/ruling/opinion events are added, a pop-up window appears for user to indicate further trial court action ("Yes"/"No"). Validation of trial-court case information, redirecting to trial court for further action.	JIS/SC to ACORDS via INH	Case Events
42	**DISPLAY COVER PAGE**	The solution must publish SC case-participant data used in display of the appellate cover.	Superior court participants	JIS/SC to ACORDS via INH	Display Case Cover
43	**DISPLAY AND REPORT FUNCTIONS**	The solution must publish Superior Court case information. This information is used by the appellate courts when displaying the appeal.	Basic information (case title, case type, filing date, resolution and date), participants, docket, charges, results and result dates, and sentence.	JIS/SC to ACORDS via INH	Display Function
44	**LETTER/NOTICE GENERATION**	The solution must publish selected case information (SC case number, court name, SC case title, SC case participants, etc.). This information is used in letter/notice generation and reports.	Trial case number, trial court name, trial case title, trial case participants etc.	JIS/CS to ACORDS via INH	Display Function
45	**REACTIVATE INACTIVE CASES**	The solution must enable Superior Courts to access and import inactive cases (which may reside in SCOMIS/JIS) into the SC-CMS for new/additional activity.	All case information	INH to SC-CMS	Reactivate case.

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ID	Application Integration Points with Superior Courts	Requirement	Information	Systems exchanging	Process Event Triggered
46	**TRANSFER DISPOSITION INFORMATION TO THE WASHINGTON STATE PATROL (WSP)**	The solution must publish criminal disposition information (e.g., charge-results and date, case resolution and date, case completion, and date). This information is shared with the Washington State Patrol.	Results and date, resolution and date, completion and date	SC to WSP_Dispo java application for data transfer to WSP (Dispositions) via INH	Transfer of disposition information to WSP

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DATA

The objective of the Data Requirements is to ensure the solution provided is compatible with AOC's data needs.

There are nine requirements (52 – 60) that are represented in the Data section of the Technical Requirements document. The format of the Data Requirements is structured as follows. The requirement number (ID), ID column, the Title of the requirement,and the actual data requirement are provided within the table for each requirement. Listed below each requirement are the associated Data Concepts that support the requirement and Supporting Detail that helps to define the Data Concept. These requirements are all considered Mandatory (M) for the SC-CMS project.

ID	Title	Requirement	
52	**Entity Centric**	**Information about an individual, organization, business, official or other types**	
		DATA CONCEPT	SUPPORTING DETAIL

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	Entities	For a court case there is the need to identify entities, the relationships between entities, and the type of entity it is. Information needs to be captured that describes/identifies an entity. The information needed for this includes name(s), physical descriptive information, and identification codes (e.g., driver license number). Types of entities that need to be identified include: attorneys, judicial officers, courts, businesses, defendants, respondents, witnesses, guardians, interpreters, Law Clerk, Court Reporter, Court Clerk, etc. Entities are often associated with other entities. This association needs to be captured. Examples of the type of associations that need to be tracked are family relationships, entity aliases, and organizational structure.
	Alert	Alerts are assigned at the person level indicating given statuses of an individual.
	Contact Information	For each entity there is a need to capture contact information. While the actual contact information for each entity type may vary, the basic type of information needed to be captured includes: Addresses (mailing, residence, and other addresses associated with a case participant), e-mail, phone numbers, etc.
53	**Case**	**Information about any proceeding, action, cause, lawsuit or controversy initiated through the court system by filing a complaint, petition, indictment or information.**
	Data Concept	SUPPORTING DETAIL
	Cases	Case is a generic term referring to any proceeding pending in the courts; it is generally synonymous with action, suit, or lawsuit, but may also include diversions and other court actions that precede the filing of a formal case. Information that needs to be captured about a case includes the type of case, the cause of action or charge, and the entities involved.
	Document Content	A representation of the data found on a physical court document (e.g., order, notice, pleading, etc.). The data captured becomes part of the official court record.
54	**Case Participation**	**Information about entities that take part on a case**

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DATA CONCEPT	SUPPORTING DETAIL
Participants (litigants)	Participant information defines the role/relationship an entity has on a case. Examples of participant roles includes: Defendant, Plaintiff, Respondent, Guardian, Witness, etc.
Representation	Identification of a participant's legal representative in a case and whether that representative is a lawyer or is the participant him-/herself (pro se).
Case Resources	Identifies all entities associated in a professional capacity with a case and the role that entity plays on the case (e.g., interpreters, judicial officials, case managers, etc.)

55	Case Issue	**Information related to the formal accusation of having committed a criminal offense. The case issue identifies a basic action brought to court which requires a court decision. In a civil case, case issue identifies an entity that is asserting or contending a right or privilege or is claiming a liability with respect to another party brought before the court. Criminal charges/counts, civil causes of action, and motions are types of issues.**

DATA CONCEPT	SUPPORTING DETAIL
Conditions	Condition information describes the actions and outcomes that must be satisfied prior to case closure. Conditions are time based, amount based, or outcome based.
Sentences	Sentencing information associated with a defendant on a criminal or juvenile-offender type case.
Judgments	Judgments consist of one or more exacting orders that, when taken together, comprise a judgment which spells out at length the rights and liabilities of persons involved in civil case decisions. The outcome of each claim, cross-claim, counter-claim, or petition involved in any of the civil case types. Contains the itemized amounts that comprise the civil judgment. Identifies each entity named in a judgment and indicates whether the judgment was 'For' or 'Against' that entity. For criminal cases, fines, jail time, and conditions of sentence describe a judgment.

56	Law	**Information about rules and principles of conduct promulgated by legislative authority, derived from court decisions and established by local custom. The solution shall support anticipatory modifiers, special allegation modifiers and civil dependency modifiers.**

DATA CONCEPT	SUPPORTING DETAIL

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		Laws	A statute or ordinance under which a jurisdiction is governed. Laws exist at the statewide level and a local jurisdiction level. A law has a begin/end date range, so a specific law may have an entry that is currently in effect, as well as having entries that are historic (past-dated), and/or an entry that is future-dated.
		Classification	The general concept for a law that changes some aspect of another law. It includes laws that define inchoate crimes (e.g., attempted, conspired, solicited), special allegations (e.g., use of a firearm), modifiers, and enhancements.
57	**Docket**	**Information related to the registry of actions taken in a particular case**	
		DATA CONCEPT	SUPPORTING DETAIL
		Docketing	The historical record of events on a case. Includes hearings, filed documents, financial transactions, etc.
58	**Scheduling / Calendaring**	**Managing schedules, time standards, resources, and events. Creating, and using reports for indexing, viewing, and monitoring all events.**	
		DATA CONCEPT	SUPPORTING DETAIL
		Calendar	Definition of the structure that each court uses to sub-divide and organize its proceedings. The calendar is used for scheduling work/events.
		Resource Scheduling	The ability to manage and schedule of resources (officials, case participants, rooms, equipment, etc.) for a court and across court boundaries for proceedings and other events, ensuring availability of those resources. Identifies the scheduling or assignment of a proceeding for a specific case, hearing type, date, time, judge, participants and courtrooms
		Proceedings	Events scheduled to deliberate issues.
		Milestone Tracking	Milestones are important events and actions that have defined completion dates. Milestone tracking permits the monitoring of a case's progression through all stages to a timely disposition. Milestone events/actions may be comprised of filings, court activities (e.g., pretrial hearing, calendar dates), etc. Milestones are also used to manage case status (active / suspended).
59	**Warrant**	**Warrant data includes key information about a court order authorizing an officer to take certain action against an entity**	

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DATA CONCEPT	SUPPORTING DETAIL
Warrants	A court order authorizing law enforcement officers to make an arrest or conduct a search. FTA/FTR (Failure to Appear or Failure to Respond) notices are also included. An FTA/FTR is a court's notice to the Department of Licensing about an individual's failure to comply with responsibilities in a vehicle-/-traffic oriented case.
Warrant Tracking	The ability to schedule and monitor the status/condition of an issued warrant or FTA/FTR.

60	Note	**Information captured that provides narrative description about an event, entity, document, or any other data item in the system**

DATA CONCEPT	SUPPORTING DETAIL
Notes	Notes can be attached to a person case, issue, charge and other data concepts as identified above.

OTHER TECHNICAL REQUIREMENTS

Introduction

The Other Technical Requirements section describes the requirements for the Superior Court Case Management system project. The following technical requirements are divided into 16 sub sections as defined below. For each sub-section, Vendor must describe how the proposed solution meets the requirements provided under this entire section.

These technical requirements are organized into the following groups:

- Technology

- Productivity

- Performance - Capacity - Scalability

- Availability

- Integrity

- Logging

- Security

- Manageability

- Usability

- Interoperability

- Extensibility

- Maintainability

- Upgradeability

- Recoverability

- Data Migration

- General

These requirements are all considered Mandatory (M) for the SC-CMS RFP.